

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application No. Unassigned

Applicants: BROCKEL et al.

Filed: Herewith

TC/AU: Unassigned

Examiner: Unassigned

Docket No.: 306436 (Client Reference No. Orglgt-2-4553)

Customer No.: 33042

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- ☒ **within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- ☐ **after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:
- ☐ the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).
- or*
- ☐ the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

Copies of the References

- ☐ Copies of all of the references listed on the enclosed Form 1449 are enclosed herewith.
- ☒ Copies of U.S. patents and patent applications that are listed on the accompanying Form 1449 are not enclosed herewith. Copies of other references identified on the accompanying Form 1449 are enclosed herewith.
- ☐ Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3). An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of

relevance found by the foreign office is being submitted in lieu of a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).

- ☐ A copy of the foreign search report is enclosed herewith.
- ☐ The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		STATUS (check one)		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1.				
2.				
3.				

Statement under 37 CFR 1.97(e)

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

Statement under 37 CFR 1.704(d)

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

In re Appln. of BROCKEL et al.
Application No. Unassigned

Fees

- ☒ No fee is owed by the applicant(s).
☐ Charge Deposit Account No. 12-1216 in the amount of **\$180.00** (37 CFR 1.17(p)).
(A duplicate copy of this communication is enclosed for that purpose.)

Authorization to Charge Additional Fees

- ☒ If any additional fees are owed in connection with this communication, please charge
Deposit Account No. 12-1216.

Instructions as to Overpayment

- ☒ Credit Account No. 12-1216.
☐ Refund

/Roger D. Wylie/

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Substitute for form 1449A/B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number Unassigned

Filing Date

First Named Inventor BROCKEL, Michael D.

Group Art Unit Unassigned

Examiner Name Unassigned

Attorney Docket Number 306436

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Sheet 1 of 2

U.S. PATENT DOCUMENTS

Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date if Appropriate
		Application or Patent Number	Kind Code			
	AA	1,577,352		Caughlan	3/1926	
	AB	2,492,946		Barber	1/1950	
	AC	3,539,798		Perry	11/1970	
	AD	4,229,782		Ruud et al.	10/1980	
	AE	4,261,030		Hernandez	4/1981	
	AF	4,386,824		Draper	6/1983	
	AG	4,570,205		Shiojiri	2/1986	
	AH	4,833,578		Schaller et al.	5/1989	
	AI	4,953,063		Nino	8/1990	
	AJ	4,964,025		Smith	10/1990	
	AK	4,992,911		Ressia	2/1991	
	AL	5,001,612		Odlum	3/1991	
	AM	5,271,077		Brockman et al.	12/1993	
	AN	5,289,356		Winston	2/1994	
	AO	5,335,152		Winston	8/1994	
	AP	5,367,446		Ellion	11/1994	
	AQ	5,424,927		Schaller et al.	6/1995	
	AR	5,800,044		Marshall	9/1998	
	AS	5,816,693		Winston et al.	10/1998	
	AT	5,894,196		McDermott	4/1999	
	AU	6,048,084		Sedovic et al.	4/2000	
	AV	6,095,668		Rykowski et al.	8/2000	
	AW	6,099,146		Imamura	8/2000	
	AX	6,158,874		Brustein et al.	12/2000	
	AY	6,190,020		Hartley	2/2001	
	AZ	6,196,702		Kreitzman	3/2001	
	BA	6,354,715		Halasz et al.	3/2002	
	BB	6,488,395		Woodward	12/2002	
	BC	6,739,738		Smith	5/2004	
	BD	6,769,787		Ferguson et al.	8/2004	
	BE	6,802,620		Galli	10/2004	
	BF	6,819,505		Cassarly et al.	11/2004	
	BG	6,893,140		Storey et al.	5/2005	
	BH	6,924,943		Minano et al.	8/2005	
	BI	D89,969		Mitchell	5/1933	
	BJ	D339,647		Kawashima et al.	9/1993	
	BK	D480,824		Englert et al.	10/2003	
	BL	D480,825		Englert et al.	10/2003	
	BM	D480,826		Englert et al.	10/2003	
	BN	D494,691		Lee	8/2004	
	BO	D494,694		Krieger et al.	8/2004	

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Substitute for form 1449A/B/PTO

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First Named Inventor	BROCKEL, Michael D.
Group Art Unit	Unassigned
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